

DEPARTMENT OF THE TREASURY — ALCOHOL AND TOBACCO TAX AND TRADE BUREAU

APPLICATION FOR OPERATING PERMIT UNDER 26 U.S.C. 5171(d)

(File in duplicate) See Paperwork Reduction Act Notice On Back

3. NAME AND PRINCIPAL BUSINESS ADDRESS OF APPLICANT
(Number, Street, City or Town, County, State, ZIP Code)

4. PLANT ADDRESS (If different from principal business address)

5. APPLICATION IS HEREBY MADE FOR AN OPERATING PERMIT UNDER 26 U.S.C. 5171(d) TO ENGAGE IN THE FOLLOWING OPERATIONS:

☐ DISTILLING FOR INDUSTRIAL USE

☐ BOTTLING OR PACKAGING OF
SPIRITS FOR INDUSTRIAL USE

☐ MANUFACTURING ARTICLES

☐ DENATURING SPIRITS

☐ WAREHOUSING OF SPIRITS (without
bottling) FOR NON-INDUSTRIAL USE

☐ OTHER (Specify)

☐ WAREHOUSING OF SPIRITS FOR
INDUSTRIAL USE

The application consists of this form and all papers and documents filed in connection therewith or incorporated therein by reference by the applicant.

Under the penalties of perjury, I declare that this application for an operating permit, including the documents submitted in support thereof or incorporated therein by reference, has been examined by me and, to the best of my knowledge and belief, is true, correct, and complete.

6. SIGNATURE

7. TITLE OR STATUS (State whether individual owner, member of firm,
or if officer of corporation, give title)

INSTRUCTIONS

1. Application for an operating permit under 26 U.S.C. 5171(d), shall be submitted on this form, in duplicate, to the Director, National Revenue Center, Alcohol and Tobacco Tax and Trade Bureau.

2. Applicants are required to furnish, in the manner and detail prescribed in 27 CFR Part 19, the following information:

- a. Statement of the type of business organization and of the persons interested in the business, supported by the corporate documents, articles of partnership, and/or statement of interest in the business, as required by 27 CFR Part 19. (Where any statement or document required by this paragraph is on file with the Regional Director (Compliance), such statement or document may, by incorporation by reference thereto by the applicant, be made part of the application for an operating permit.)
- b. List of the trade names to be used in connection with the operations specified in the application, showing the operation or operations in which each trade name will be used. If State or local law requires registration of trade names, evidence of such registration must be furnished. If such registration is not required, a statement to that effect must be furnished.

3. On specific request of the Director, NRC, furnish a

statement whether any of the persons referred to in paragraph 2a, above has:

- a. Ever been convicted of a felony or misdemeanor under Federal or State law.
- b. Ever been arrested or charged with any violation of Federal or State law (convictions or arrests or charges for traffic violations need not be reported if such violations are not felonies).
- c. Ever applied for, held, or been connected with a permit, issued under Federal Law, to manufacture, distribute, sell, or use spirits or products containing spirits, whether or not for beverage use, or held any financial interests in any business covered by such permit, and, if so, give the number and classification of such permit, the period of operation thereunder, and state in detail whether such permit was ever suspended, revoked, annulled, or otherwise terminated. (Where any information required by this subparagraph is on file with the Director, NRC, such information may, by incorporation by reference thereto by the applicant, be made a part of the application for an operating permit.)

4. Applicants, when so instructed by the Director, NRC are required to furnish as part of the application for an operating permit such additional information as may be necessary to the Director, NRC to determine whether such permit should be issued.

PRIVACY ACT INFORMATION

The following information is provided pursuant to Section 3 of the Privacy Act of 1974 (5 U.S.C. §552a(e)(3)):

1. **AUTHORITY.** Solicitation of this information is made pursuant to 26 U.S.C. §5171(d). Disclosure of this information by the applicant is mandatory if the applicant wishes to obtain an operating permit.
2. **PURPOSE.** To identify the applicant, to identify the location where the plant will be located and to determine the eligibility of the applicant to obtain an operating permit.
3. **ROUTINE USES.** The information will be used by TTB to make the determination set forth in paragraph 2. In addition, the information may be

disclosed to other Federal, State, foreign and local law enforcement and regulatory agency personnel to verify information on the application where such disclosure is not prohibited by law. The information may further be disclosed to the Justice Department if it appears that the furnishing of false information may constitute a violation of Federal law. Finally, the information may be disclosed to members of the public in order to verify the information on the application where such disclosure is not prohibited by law.

4. **EFFECTS OF NOT SUPPLYING INFORMATION REQUESTED.** Failure to supply complete information will delay processing and may result in the denial of the application.

PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1980. The information collection is used to determine the eligibility of the applicant to engage in certain operations, to determine location and extent of operations, and to determine whether the operations will be in conformity with Federal laws and regulations. The information requested is required to obtain or retain a benefit and is mandatory by statute (26 USC 5171).